DDS&T-2885-81/1
29 JUN 1981

25X1 MEMORANDUM FOR: [redacted] Chief, Technical Control, PCS/DDO
25X1 [redacted] Management & Budget Staff, DDA
25X1 [redacted] CRES/NFAC

25X1 FROM: [redacted]
Chief, Planning Division, PRS/DDS&T

SUBJECT: FY-1984 R&D Planning Cycle

1. The FY-1983 Program Call has been completed and the RD&E portion appears to address the leading priorities of all the customers. In order to implement a successful FY-1984 program, we must begin the R&D Planning Cycle now by asking that you reevaluate your requirements and priorities with appropriate updates/deletions or new requirements.

2. The attachments are broken into the following areas:

Attachment 1: Schedule
Attachment 2: Detailed Instructions
Attachment 3: Points of Contact

There are very few changes in the schedule or the detailed instructions from the FY-1983 cycle. The Points of Contact list has been updated to reflect personnel changes.

3. The first scheduled date is 3 August 1981 for submission of prioritized customer requirements. At any time during this Planning Cycle please call me or members of my staff if we can be of assistance.

[redacted] 25X1

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DOWNGRADE TO ADMINISTRATIVE-
INTERNAL USE ONLY WHEN SEPARATED
FROM ATTACHMENTS

[redacted]

ATTACHMENT 1

SCHEDULE

WEEK OF	EVENT
May 1981	Initial customer meetings (FY84)
24 June	Publish detailed instructions and schedule
3 August	Customer requirements and priorities due PD/PRS/O/DDS&T
3-13 August	PD/PRS Review and Principal Offices designated
14 August	Customer Requirements and P.O. assignments to offices
21 August	Contributing Offices declare interest to P.O.
15 September	Contributing Offices submission to P.O.
30 September	Principal Office submission to DDS&T
9 October	FY84 R&D program to customers
13 November	Customer prioritization to DDS&T
20 November	Customer priorities and guidance to offices
18 December	Revised FY84 office submission and office priorities due DDS&T
30 January 1982	Brief DDS&T and A/DDS&T
1-5 February	Program Call specific guidance to offices

ATTACHMENT 2

1.0 - Introduction

The R&D Planning procedures for 1984 are similar to those of last year but with renewed emphasis on coordinating the schedule of events while continuing to both reduce the quantity and improve the quality of requirements and R&D solutions proposed.

The instructions have been divided into specific areas as follows:

Customer Requirements

R&D Solutions

Customer Evaluation

Office Recommendations

2.0 - Customer Requirements;

The Planning Division of O/DDS&T will request revalidation and update as necessary of the R&D problem statements from our customer organizations (currently DDO, DDA, NFAC, NPIC and FBIS).

These should, insofar as possible, address relatively broad classes of problems rather than specific techniques so as to allow some latitude in identifying solutions and avoid unnecessary proliferation of paperwork. Since the results of many R&D programs may lie at least five years in the future, the types of problems submitted should be forward looking in nature and prioritized by each customer to reflect their relative importance. All problem statements should include:

a. Title

b. Problem description

c. Customers - offices within a directorate and points of contact and telephone numbers

d. Expected benefits

e. Type of support required; suggested means of attack, if known

f. Background for support activities

g. Time frame

h. References

A suggested format for problem statements is included as Appendix A.

3.0 - R&D Solutions

The Planning Division will review all problem statements and designate a Principal Office prior to forwarding the problem statements to the DDS&T R&D Offices. This designation of Principal Offices should not inhibit other R&D Offices from responding to applicable problem statements. It is important, however, to respond to the customer with the best overall, integrated attack on his problem.

3.1 -

The Principal Office will formulate a comprehensive Program Plan for one or a group of Problem Statements. It is up to the Principal Office to aggregate problem statements that are amenable to a single program plan of attack.

The sequence of events for the Principal and Contributing Offices is as follows:

a. Contributing Offices declare interest to Principal Office. It is important that this declaration be made as soon as possible after receipt of the problem statements to enable the Principal Office to formulate its planning and to ensure that the Contributing Offices will be advised of any meeting with the customer on a specific problem statement or group of problem statements. This declaration should be made to one of the Principal Office's contacts listed in Attachment 3.

b. Principal Office is responsible for initiating discussions with customers (including participation by previously declared interested Contributing Offices) when elaboration or clarification is needed.

c. R&D Offices prepare R&D proposals in R&D notebook format including all D&E efforts for the Execution Year (FY-1982), Budget Year (FY-1983), and Program Year (FY-1984). Technology developments will be included only for the Execution Year. (See Appendix D).

d. Contributing Offices forward inputs to Principal Office in R&D notebook format. Contributing Office solutions not submitted to the Principal Office will not be considered as they will not be part of the Program Plan.

e. Principal Office formulates Program Plan including an evaluation of their own proposals and those of the Contributing Offices. The Program Plan will contain a prioritization from 1 to n of the proposals within each Program Plan (#1 being highest priority). See appendices B&C. Contributing Offices should be called for clarification if necessary.

f. Principal Office forwards four copies of the Program Plans and system/technology sheets to the Chief, Planning Division in R&D notebook format. One copy of each Program Plan should be provided to Contributing Offices.

During the period when the R&D offices are considering the customer's problem statements and formulating proposals it is the R&D offices' responsibility to establish a dialogue with the customer to verify proper understanding of the problem and its scope as well as to let the customer know that the R&D office is interested in the problem and wants to be sure that the problem is fully understood before proceeding.

3.2 -

No specific provisions have been made above for R&D proposals for which there is no problem statement. However, if a limited number of such proposals warrant special attention a program plan should be prepared for each group of proposals that jointly attack a problem. Unsolicited proposals, if any, that do not lend themselves to integration into a program plan should be grouped by customer organization under a cover sheet for that customer organization. The cover sheet should state that the attachments are unsolicited propsoals for that customer and list the proposal names and FY-1984 funding request.

3.3 -

System/Technology area sheets (see Appendix D) will be developed for each R&D solution proposed by both Principal Offices and Contributing Offices. Contributing Offices should provide System/Technology area sheets to the Principal Office by the date indicated on the attached schedule for inclusion in the overall Program Plan for the applicable problem statement or aggregation of problem statements made by the

Principal Office. If the proposed D&E solution is an ongoing effort, list the funding profile for the two preceeding years plus the Program Year and four out-years with funding increments, if appropriate. For D&E efforts ongoing in one or both of the preceeding years but for which no program year funding is requested, include the current write up in the applicable Program Plan if you are the Principal Office; if you are a Contributing Office provide the write up to the Principal Office not later than the date indicated on the schedule. Technology Development efforts specifically identified for the Execution Year should be included in the Program Plan of the applicable Principal Office showing only the Execution Year funding. Technology Development funding will be a separate and distinct line item in the program call formulation and is not subject to customer evaluation at this time.

4.0 - Customer Evaluation

The Planning Division will review and forward the Program Plans with their attached proposals to each R&D customer organization in accordance with the attached schedule.

As in the past, the customer organizations will be requested to provide a 1 to n ranking of each proposal received. Customer queries are encouraged and we invite your fullest cooperation in responding to questions, requests for additional information or clarification during all phases of Program formulation. The customer rankings will then be forwarded to each R&D office to assist you in formulating your own Office priorities.

Once the customers have ranked their portion of the R&D program it is inappropriate for proposals to be combined. For example, a highly ranked proposal at low dollar value cannot later be combined with a lower ranked related proposal at a high dollar value. Make sure your proposed solutions, if inseparable as elements of the attack on the problem, are written up as one system/technology area (one proposal) when first submitted.

D&E solutions proposed to the customer must remain as D&E line items throughout the Program Call formulation. Withdrawing highly ranked D&E solutions or recategorizing them to the Technology Development line item distorts the customer evaluation.

D&E solutions may be withdrawn for cause during the Office Recommendation portion of the cycle described below.

5.0 - Office Recommendation

After receipt of the customer rankings, the next step in preparation of the R&D program is the development of a 1 to n ranking of all R&D systems generated by each Office.

If substantive changes to previously submitted systems are necessary to accommodate customer suggestions and comments or to more clearly reflect your program, system and program sheets should be updated, coordinated with customers, and forwarded to the Planning Division along with the rankings by the scheduled date. These changes may encompass narrative, financial data and the addition of new systems.

If a solution ranked in the top 50% of a given customer ranking is withdrawn the reason for the withdrawal should be forwarded to the Planning Division with the above described information.

APPENDIX A

DATA TO BE INCLUDED IN THE PROBLEM STATEMENTS

1. Office and Problem Number - This designator will be used throughout the process of working with DDS&T to identify individual problems.

2. Title - Brief statement of the subject of the requirement.

3. Policy Basis - Statement of justification for the importance of the problem. The DCID priority should be included if applicable.

4. Expected Benefits - Statement of the value or contribution to the office of solving the problem.

5. Customer - Designate the division, branch, telephone number and name of the point-of-contact who could supply additional information on the requirement to project officers in DDS&T.

6. Problem Description - This section should contain clear statements of the problem to be solved.

7. Background for Support Activities - A short discussion for DDS&T on the backgrounds of the work to be done is highly desirable.

8. Time Requirement - Is the solution to the problem needed now, is it a long-range problem, or both?

9. References - Include any references that would be beneficial for the S&T project officer to read to obtain further information on the problems to be solved.

10. Ranking - The importance of each problem relative to all the other problems submitted by the office should be defined. If the ranking number is identical to the problem number, it should be so stated.

APPENDIX B

DEFINITIONS FOR PROGRAM PLAN PREPARATION

Decision Unit:	As defined in the latest Program Call instructions.
Program Title:	As appropriate to identify the program activity and/or the problem statement.
Principal Office:	Identified with each problem statement.
Contributing Office:	Any RD&E Office other than the Principal Office contributing to the solution of a problem statement.
Problem Statement:	Identify by customer, customer number and title.
System or Technology Area:	List the proposed systems or technology efforts that contribute to the solution of the problem statement. Show the priority of these systems as determined by the Principal Office. Remember, list only the dollar value attributed to the system/technology area that pertains to this problem statement or aggregated group of problem statements.
Program Objective:	Describe the overall intelligence or operational purpose of the program. The objective may go beyond what the systems and/or technology area efforts under the program will accomplish. Include a justification of outyear planning wedge funding.
Systems Integration:	State how the individual efforts relate to each other and how each contributes to the solution of the problem. Indicate the minimum funding required for a significant contribution to the solution of the problem.

Schedule: Display the program schedule on a one-page graphic showing the execution span of each proposal with key events.

Funding: Show the financial accounting number (FAN) associated with the R&D contract funds. Show the funds reflected in the FY-82 Congressional and your proposed FY-83 Congressional submission. If more than one FAN is involved, repeat for each FAN. Proposed efforts for FY-84 will include only the amount of dollars supported by the system/technology sheet directly applicable to the problem statement or aggregated group of problem statements.

APPENDIX C

PROGRAM PLAN

A Program Plan is an integrated overview presenting the problem statement and the R&D system proposals to satisfy the problem. It ties together the individual System Technology Area proposals which are in R&D notebook format.

A single Program Plan will be prepared encompassing all the R&D solutions proposed against a problem statement or group of problem statements. Only the Principal Office will aggregate problem statements.

All Program Plans and supporting system/technology sheets will be on 8 1/2" x 11" paper and typed utilizing a 10-pitch element or daisy wheel printer.

Program Plans will include all funded efforts for the two years preceeding this Planning/Program year; i.e., the Execution Year (1982), the Budget Year (1983) as well as the Program Year (1984). The Execution Year (and only that year) must include specific ORD Technology Development Projects. No Technology Development efforts or out-year projections of them in the Budget or Program Years are to be included.

Program Plans will include only the amount of dollars supported by the system/technology sheet directly applicable to the problem statement or aggregated group of problem statements. (See Appendix D)

As Program Plans are formulated, every effort should be made to ascertain that system/technology titles are not repeated and that the titles used are meaningful in order to avoid title changes later in the planning cycle.

The Program Plan format will be used for the program sheet format in the FY-1982 R&D Planning notebook and in subsequent notebooks.

EXAMPLE

PROGRAM PLAN

DECISION UNIT ______________________

I. PROGRAM TITLE: ______________________

PRINCIPAL OFFICE: ______________________

CONTRIBUTING OFFICE(S): ______________________

PROBLEM STATEMENT(S): ______________________

II. SYSTEM/TECHNOLOGY AREA:	OFFICE	FY82	FY83	FY84	FY85
Priority 1. ________	____	$____	$____	$____	$____
Priority 2. ________	____	$____	$____	$____	$____
etc., etc.					
TOTAL RECOMMENDED PROGRAM PLAN		$____	$____	$____	$____

III. PROGRAM OBJECTIVE: (Space as Required)

IV. SYSTEMS INTEGRATION: (Space as Required)

V. FUNDING:	81	82	83	84	85	86	87	88	89
FAN									
FY81 Congressional	-	-	-	-	-	-	-	-	-
FY82 Congressional	-	-	-	-	-	-	-	-	-
Operating Amount	-	-							

VI. SCHEDULE (Separate one-page graphic)

APPENDIX D

The instructions for development of the System/Technology Area sheets (proposals) have been modified and are attached.

(1) DECISION UNIT

(2) PROGRAM

(3) SYSTEM

(4) Office/Project Officer/Telephone Extension

(5) REQUIREMENT: [ ]

Source:

(6) CUSTOMER/SCENARIO:

Customer:
Scenario:

(7) DESCRIPTION: [ ]

Initial Operational Capability:

Type of Intelligence Product:

(7a) Deliverables/End Products

82:

(7b) 83:

(7c) 84:

(8) FUNDING:	81	82	83	84	85	86	87	88	89
Contract (FAN)									
FY-82 Congressional	--	--	--	--	--	--			
FY-83 Congressional		--	--	--	--	--	--		
FY-84 Proposed				--	--	--	--	--	--
Operating Amount	--	--							

(9) SYSTEM JUSTIFICATION:

Date Originated
Revised
Date

FY-84 PROGRAM CALL NOTEBOOK FORMAT
SYSTEM SHEET

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SYSTEM/TECHNOLOGY AREA DATA SHEETS

(1) DECISION UNIT

As defined in the FY-1983 Program Call.

(2) PROGRAM

The Program is the overall descriptor of a grouping of Systems or Technology Area efforts within an RD&E Sub-Element. File a separate Program Data Sheet for each Program. Examples of Programs are:

STAT

ELEMENT Technical Collection

SUB-ELEMENT [redacted]

PROGRAM

ELEMENT Clandestine Operations

SUB-ELEMENT Technical Surveillance

PROGRAM Audio Surveillance

PROGRAM Video Surveillance

(3) SYSTEM or TECHNOLOGY AREA Efforts:

A short, unique, meaningful title should be associated with each SYSTEM or TECHNOLOGY AREA effort. Where such information is restricted to special bigot-list access, a separate (addition) sanitized version of the forms, including sterile version of otherwise-sensitive information, should be provided. Exploratory development work, and all work not associated with an actual or planned system, should be identified as TECHNOLOGY; in such cases TECHNOLOGY should be the last word in the title. For SYSTEMS, the word SYSTEM should be the last word in the title. For activities that are not SYSTEM nor TECHNOLOGY-AREA efforts such as work orders and service contracts or groups thereof, the words SYSTEM or TECHNOLOGY-AREA should not be used in the title. Also, state the classification of the title.

(4) OFFICE/PROJECT OFFICER/TELEPHONE EXTENSION

Show your Office, the Project Officer's name for this system or technology area effort, and his telephone number.

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(5) REQUIREMENT

Define the purpose(s) of your system or technology area or equivalent efforts. What intelligence or operational objective will be met by employing the product of the proposed R&D effort? To what degree and how will this effort contribute to the solution of the requirement? Be specific. State in detail what problems we face and how the RD&E effort will overcome the problem.

The first few sentences should summarize the requirement, be classified at not higher than the SECRET level and be set off by brackets.

For each System or Technology effort the material on its data sheet should convey the importance of performing the effort and the reasons for that importance.

If the RD&E effort is to modify or improve a system, state the needs and requirements that drive such action. What will be accomplished with the RD&E results that cannot be accomplished at all or as well without it?

Greater care should be taken to make clear <u>how</u> the proposed system/technology effort will help and <u>to</u> use a few key words from the problem statement against which the solution is being proposed.

SOURCE:

State the specific written requirement, identify the requiring Office or DD/O Area Division. List not only the customer and problem statement number, but also the title and, if the solution applies to only a particular subset, so identify. Also indicate the DD/S&T guidance (Problem Statement Tab Number) that this effort responds to, if appropriate. Identification of the source of the requirement is <u>not a substitute</u> for a precis of the requirement. (<u>Describe</u> the <u>current requirement</u> for that Program's existence). In the case of directed exploratory development, in addition to showing that the work is "directed" and designating the office that directed it, the operational, intelligence or other requirement or need that lies behind the directed work should also be stated both by reference and precis.

(6) CUSTOMER/SCENARIO

CUSTOMER:

Name the CUSTOMER organization(s). A customer organization is one that can validate the requirement for the RD&E effort. Use the lowest organizational level that is appropriate.

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(6) CUSTOMER/SCENARIO (Continued)

SCENARIO:

Discuss the specifics of the operational use concept/ scenario. For System falling under Sub-Elements 1 through 10 (Technical Collection), identify name/location of specific operational target(s) against which the system will be deployed. Specify the method of deployment of the system (human, machine, animal). State the status of agreements for the user(s) to employ the subject system.

(7) DESCRIPTION

For a System, define the technical characteristics of the System. Include <u>pertinent</u> numbers such as resolution, sensitivity, power requirements, environmental constraints, and overall size. For all Systems requiring power sources (integrated or separate) for their operation/implementation, describe the salient technical characteristics of the power source. State the RD&E work to be accomplished; e.g., complete system development, specific system modification or augmentation.

Follow-on and previous efforts should be included. The nature of such efforts and their relationships to the current year's effort should be shown explicitly. The first few sentences should summarize the description, be classified at not higher than the SECRET level and be set off by brackets.

INITIAL OPERATIONAL CAPABILITY (IOC):

List the date when the RD&E product can first be employed productively. For exploratory work, state when the results will be available for subsequent-phase exploitation. When do you hope to achieve what level of capability? Where are you now? Do not generalize with a phrase such as "continuing update".

TYPE OF INTELLIGENCE PRODUCT:

Identify the nature of the expected system product to be obtained from using the resultant RD&E product. (e.g., a tape recording, a picture, a thermal plot).

(7A)

Indicate the expected results to be obtained during the preceding and program year; i.e., what hardware, test results, reports, computer programs, etc., will be delivered on what dates? State how the results will aid in satisfying the system/technology area requirements.

(7B)

Same as above, except state the results to be obtained during the budget year.

(7) DESCRIPTION (cont.)

(7C)

Same as above, except state the results to be obtained during the congressional year.

(8) FUNDING

Indicate the financial accounting number (FAN) associated with the RD&E contract funds [redacted]. The FY-82/83 Congressional figures are for reference only and the proposed numbers do not have to be the same. Incremental funding required by a given activity within a system/technology area must be identified. These increments must be on all copies of the system/technology area sheets. Thus, if you are proposing a solution that applies to two or more unaggregated problems, provide the breakout of resources against each problem.

(9) SYSTEM JUSTIFICATION

If this is a new system, provide additional background information to aid in supporting your proposed activities. This information should be complementary to the information provided in other sections. As a minimum include a technology assessment of the proposed project. The technology assessment should address such topics as:

(1) The extent to which basic technology must be developed versus system development of integration requirements.

(2) Comparison with the technology used in the currently operational equipment.

(3) Comparison with the oppositions' target and/or countermeasures technology.

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